

Omgeo ProtoColl®

Comprehensive collateral management across multiple asset classes, via an efficient, exceptions-based workflow.

Omgeo ProtoColl is the most complete and user friendly collateral management solution available today. It automates the margin call process via an efficient workflow, allowing you to manage by exception.

As the derivatives market diversifies and matures with greater regulatory scrutiny on counterparty credit risk and a push towards use of Central Counterparty (CCP) clearing of standard OTC derivatives, industry participants need to ensure they have a solution that mitigates risk, processes collateral information consistently and is in accordance with new regulation and industry best practice.

Therefore the solution to collateral and margin management is Omgeo ProtoColl, which helps you track and optimize your collateral book – all from one centralized workflow location.

ProtoColl is a single solution built to streamline and automate your collateral management business:

- Covers all margining for bilateral and centrally cleared instruments via a single platform for OTC Derivatives, Repo, Securities Lending, Listed Derivatives and Loan Facilities, and automatically monitors the terms of all your agreements and credit support annexes
- Enables asset managers with US mutual funds to comply with 1940 Act requirements for margining derivatives and repos, and soft segregation of fund collateral (Fund Leverage)
- Calculates the exposure of each portfolio for both your variation and initial margin requirements
- Automatically handles all communication with counterparties, custodians and brokers
- Manages negotiations with counterparties over issued margin demands, processes the mitigating collateral orders, and helps track and optimize your collateral book

Omgeo ProtoColl - Proactive Functionality

Omgeo ProtoColl provides a pro-active approach to collateral management with unique features designed to minimize operational inefficiencies, improve productivity, and mitigate risk.

- **Exceptions-based Approach** - remove reliance on external processes across day to day activities, save valuable time and identify potential issues earlier in the process
- **Complete Automation and STP** - harness the power of Omgeo ProtoColl to reduce operational risks by streamlining workflows, removing manual intervention and avoiding human error

Usability

Omgeo ProtoColl is highly configurable and flexible, and provides you with the most functionally rich system available.

- **Intuitive Dashboards** - ensures optimal delivery of information allowing you to manage tasks efficiently from one platform. A single dashboard is all that's needed to observe, monitor and handle interactions with your counterparties
- **Sophisticated Workflow** - guides users through complex processes and underpins all your diverse collateral management tasks, while the flexibility to configure this workflow ensures an environment tailored to bespoke business requirements. Complementary, roles-based user access provides customized views within a secure, audited environment

Omgeo ProtoColl – Complete Control

Margin Call Management

Single cross-product platform for all margin call activity including agreement negotiation and maintenance, sophisticated margin call management, and disputes tracking and resolution.

Order Management

Sophisticated order workflow for all agreed margin calls, which guides you through the appropriate steps to ensure its fulfillment and subsequent communication with your counterparties and/or custodians.

Source and Track Collateral

Designed with inventory management in mind. Identify positions to use as eligible collateral, track collateral use, report on rehypothecation and ensure full optimization of your collateral.

Portfolio Reconciliation

Manage and resolve disputes efficiently with quick, accurate reconciliation and identification of underlying issues. Supports ISDA's standard format for reconciliation.

Cash Interest Management

Handle accruals on cash collateral, produce statements and ensure timely collection and payment of cash collateral interest. Define fixed or floating rates against flexible accrual, capitalization and distribution schedules.

Executive Oversight and Reporting

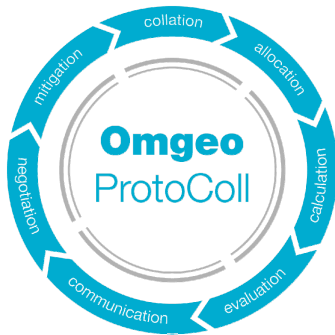
Improve the quality and flow of data throughout your business. Provides flexible and extensive reporting, keeping users fully informed. Reports can be exported in many formats, including Excel, CSV and PDF, and delivered on-line, through the intranet, messaging or via email.

Inventory

By using the integrated Inventory module, you can optimize your asset allocation with counterparties using configurable, time-projected balances. You can also incorporate position balances and transaction data, and report settled and forward-projected asset balances at many levels of aggregation.

Implementation

- **Highly configurable implementation and Integration** - ensures a low impact, quick implementation that minimizes demand on your internal resources.
- **Increased Capacity** – a scalable solution that automatically grows with your business to ensure effective and efficient use of resources, unrivalled productivity, and a cost effective approach.



Local and Hosted Solution Options

You have the option of using Omgeo ProtoColl locally or hosted in Omgeo's secure data centers. By leveraging Omgeo's infrastructure, you'll automatically remove the need for additional capital expenditure on hardware and associated infrastructure, providing a low cost entry point structured to suite your requirements, and only pay for the facilities you need. Additionally, we'll support the system within one of the most secure, resilient environments in the financial world (the DTCC) so you can do more with what you have without the worry of system maintenance. Our expert staff and 24/6 support will ensure you have everything needed to make your collateral management process as efficient as possible.

About Omgeo

At Omgeo, we are the operations experts, automating trade lifecycle events between investment managers, broker/dealers and custodian banks. We enable 6,500 clients and 80 technology partners in 52 countries around the world to seamlessly connect and interoperate. By automating and streamlining post-trade operations, we enable clients to accelerate the clearing and settlement of trades, and better manage and reduce their counterparty and credit risk. Our strength lies with our global community and our ability to adapt our solutions to enable clients to realize clear returns on their investment strategies, while responding to changing market and regulatory conditions. Across borders, asset classes, and trade lifecycles, Omgeo is the global standard for operational efficiency across the investment industry. Formed in 2001, Omgeo is jointly owned by the DTCC and Thomson Reuters. For more information, please visit www.omgeo.com.

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